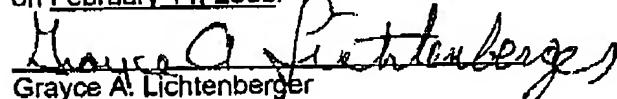


Application No. 10/063,601

Certificate of Transmission

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## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re: Application of:

**Nicholas E. Roddy, et al.**

Group Art Unit: 2113

Serial No. **10/063,601**Examiner: **Guyton, Philip A.**Filed: **05/03/2002**

For: **Method And System For Analyzing  
 Fault And Quantized Operational Data  
 For Automated Diagnostics Of  
 Locomotives**

## SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT TRANSMITTAL

- 1. Pursuant to 37 CFR 1.97(b)  
 (within 3 months of filing or prior to 1st Office Action)
- 2. Certification Pursuant to 37 CFR 1.97(c)  
 (before Final Office Action or Allowance)
- 3. Petition, Certification & Petition Fee Payment Pursuant to 37 CFR 1.97(d)  
 (after Final Office Action or Allowance but before issue fee payment)

Mail Stop Amendment  
 Commissioner of Patents  
 P.O. Box 1450  
 Alexandria, VA 22313-1450

Sir:

The following are submitted in the above-identified application in compliance with  
 37 CFR 1.97 & 1.98:

- 4. A list of documents on form PTO-1449 is enclosed herewith.

Application No. 10/063,601

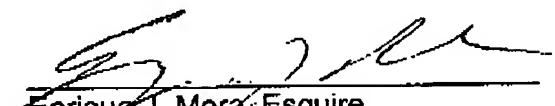
This paper is submitted in accordance with:

- 5. 37 CFR 1.97(b): [within 3 months of filing or prior to 1st Office Action]
- 6. 37 CFR 1.97(c): [before Final office Action or Allowance, whichever is earlier; and]
- 7. The required certification made in item 10 below; or
- 8. The \$180.00 fee specified in 37 CFR §1.17(p) for submission of this Information Disclosure Statement.
- 9. 37 CFR §1.97(d): [after Final Office Action or Allowance, but before issue fee payment]; and
  - a) This is a petition for consideration of the subject Information Disclosure Statement. The petition fee (\$180.00) required by 37 CFR 1.17(i)(1) is authorized in item 11 below. (Direct this letter to: "Attention: PETITIONS EXAMINER" and, if applicable, include batch locator information: e.g., "Allowed Files, Batch \_\_\_\_\_, Date of Allowance \_\_\_\_\_"), and
  - b) The required Certification is stated in item 10 below.
- 10. Certification
  - a) Each item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement;
  - b) No item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the person signing this document after making reasonable inquiry, was known to any individual designated in 37 CFR 1.56(c) more than three (3) months prior to the filing of this Statement.
- 11. Please charge all applicable fees associated with the submittal of this Information Disclosure Statement to Deposit Account No. 07-0846.

Application No. 10/063,601

An original and two (2) copies of this document are enclosed.

Respectfully submitted,

  
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PTQ/SB/08A (08-03)

Approved for use through 07/31/2006. OMB 0651-0031

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| <p>Sheet</p>  |  | <p>1</p> | <p>of</p> | <p>2</p>                        | <p>Application Number</p>     | 10/063,601        |
|   |  |          |           |                                 | <p>Filing Date</p>            | 05/03/2002        |
|   |  |          |           |                                 | <p>First Named Inventor</p>   | Nicholas E. Roddy |
|   |  |          |           |                                 | <p>Art Unit</p>               | 2113              |
|   |  |          |           |                                 | <p>Examiner Name</p>          | Guyton, Philip A. |
|   |  |          |           |                                 | <p>Attorney Docket Number</p> | 121891            |

## **U.S. PATENT DOCUMENTS**

## FOREIGN PATENT DOCUMENTS

| Examiner Initials | Cite No. <sup>1</sup> | Foreign Patent Document   | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages,<br>Columns, Lines,<br>Where Relevant<br>Passages or<br>Relevant<br>Figures Appear | T <sup>6</sup> |
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|                   |                       | Country Code <sup>3</sup> -Number <sup>4</sup> -Kind Code <sup>5</sup> (if known) |                                |  |  |                |

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|  |   | <b>Application Number</b>   | 10/053,601        |                               |        |
|  |   | <b>Filing Date</b>          | 05/03/2002        |                               |        |
|  |   | <b>First Named Inventor</b> | Nicholas E. Roddy |                               |        |
|  |   | <b>Art Unit</b>             | 2113              |                               |        |
|  |   | <b>Examiner Name</b>        | Guyton, Philip A. |                               |        |
| <b>Sheet</b>   | 2 | <b>of</b>                   | 2                 | <b>Attorney Docket Number</b> | 121891 |

NON-PATENT LITERATURE DOCUMENTS

**Examiner  
Signature** \_\_\_\_\_ **Date  
Considered** \_\_\_\_\_

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